




### Progress in implementing 'Lessons Learned' from Procurement of Electrical Maintenance & Repair Contract




Reference	Learning Point	Source	Owner	Progress to end Oct 2017
Subject Area: Conflicts of Interest				
1.1 RED	No staff with a potential conflict of interest should play any part in a related tender process.	Internal Audit Investigation Report to CMT June 2016	SMT	This is reflected within the Code of Procurement Practice and the Employee Code of Conduct. This specific issue will be discussed at SMT to ensure that appropriate practices are in place. Conflict of interest is discussed at initial procurement project briefings, with those involved having to sign a declaration of interest form. The CoPP will be updated to re-enforce this. Status: 
2.7 A	That all officers be asked each year, on the anniversary of the date they first joined the Council, to update and sign their Declaration of Interest form.	Recommendations from the Report Produced by Head of Housing and Property Services.	CMT/SMT	Recommendation revised after subsequent discussions at SMT as now addressed as part of routine contract management and the PID process for new procurement exercises. Status: 
3.2 R	Senior Management should re-double its efforts to ensure that all staff be made aware of conflict of interest situations (paras. 3.2.7-3.2.14 & 3.2.18 of report).	Internal Audit investigation report to Finance & Audit Scrutiny Committee March 2017	Senior Management Team and other Senior Officers	SMT continually and routinely making colleagues aware when dealing with procurement. In addition, there is a training programme in place. DCE (AJ) to re-instate annual reminder for Heads of Service Status: 

Reference	Learning Point	Source	Owner	Progress to end Oct 2017
2.6 G	That all officers who are to be involved in a procurement project be required to sign a Declaration of Interest bespoke to that procurement exercise.	Recommendations from the Report Produced by Head of Housing and Property Services.	CMT/SMT	Conflict of interest is discussed at initial procurement project briefings, with those involved having to sign a declaration of interest form. Status: G
Subject Area: Tender Evaluation				
1.2 G	Independent (Procurement) staff should be present during tender evaluation exercises to ensure that correct processes are followed.	Internal Audit Investigation Report to CMT June 2016	Procurement Manager and Procurement Lead Officer	The Code of Procurement Practice and the Guide to Tendering Evaluation include these requirements. This is reinforced as part of planning for each tender opportunity and is within all procurement training (formal and informal). Tender evaluation is carried out individually by each panel member and is overseen by the Procurement Team, ensuring that the evaluators are suitably trained and able to undertake their role. The Procurement Team will subsequently review the scores to ensure consistency and identify any unusual anomalies, and provide challenge where necessary, before the conclusion of the evaluation. The WCC model practice has been adopted here. Status: G




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1.4 A	Staff involved in tender evaluation processes should receive appropriate training.	Internal Audit Investigation Report to CMT June 2016	Procurement Manager / SMT	<p>The Procurement Team ensure, as part of planning each tender opportunity, that staff are appropriately trained (often by informal 1-2-1 training) to undertake evaluations, and this will be part of the planned Stage 2 Advanced Procurement Training.</p> <p>There is a training programme in place with training being provided by Procurement Team. Further training dates are being planned with HR.</p> <p>Status:</p> <p>A</p>
3.3 R	The process for evaluating tenders should be "clean" i.e. evaluators should be empowered/ allowed to evaluate (3.2.30-3.2.37).	Internal Audit investigation report to Finance & Audit Scrutiny Committee March 2017	Senior Management Team and other Senior Officers including Procurement Team	<p>Roles and responsibilities in the procurement process included within formal and informal training provided by Procurement Team.</p> <p>Status:</p> <p>G</p>
Subject Area: Project Management				
3.1 R	Senior Management needs to be more actively involved in major tender processes where there is staff upheaval (paras. 3.1.8-3.1.18 of Internal Audit report).	Internal Audit investigation report to Finance & Audit Scrutiny Committee March 2017	Senior Management Team	<p>Heads of Service regularly review contract registers in the context of staff changes. Contract Registers are themselves reviewed on rolling basis.</p> <p>CMT routinely discuss contract registers with their reports at 1-1s as a standing agenda item</p> <p>Status:</p> <p>G</p>

Reference	Learning Point	Source	Owner	Progress to end Oct 2017
1.3 G	The corporate training programme should promote the respective roles and responsibilities of the initiating service area and the Procurement Team in respect of the procurement process, including clarification of where the 'ownership' of each task lies.	Internal Audit Investigation Report to CMT June 2016	Head of Finance & Procurement Manager	<p>Roles and responsibilities will continue to be brought out in future training. More importantly, for each project responsibilities are agreed with those involved, this being spelt out in the Procurement Initiation Document (PID). Updated Code of Procurement Practice includes roles and responsibilities. This is also included within the training provided by the Procurement Team. Roles and responsibilities is also discussed/clarified at initial procurement project briefings.</p> <p>Status:</p> <p><b>G</b></p>
2.1 A	That the Council introduces for all procurement exercises that start on or after April 1 <sup>st</sup> , 2016, a mandatory formal Project Plan for each procurement exercise setting out an agreed schedule of all actions, deadlines and responsible officers.	Recommendations from the Report Produced by Head of Housing and Property Services.	Procurement Team	<p>A Procurement Initiation Document (PID) is a requirement of the Code of Procurement Practice for projects over £50k. SMT need to ensure that these are routinely prepared. Non-compliance will be considered by the Procurement Steering Group.</p> <p>Status:</p> <p><b>G</b></p>




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2.2 A	That within the Project Plan there is a clear and distinct division of responsibilities and contributions from the procuring service, the Legal Services Team and the Procurement Team.	Recommendations from the Report Produced by Head of Housing and Property Services.	SMT	Updated Code of Procurement Practice includes roles and responsibilities. This is also included within the training provided by the Procurement Team. Roles and responsibilities is also discussed/clarified at initial procurement project briefings. The Legal and Procurement functions have scheduled regular surgeries to review new and ongoing procurement initiatives. Status: A
2.3 A	That each procurement project is assigned a named officer to act as Project Manager, that officer reporting to the head of the procuring service on progress on the project.	Recommendations from the Report Produced by Head of Housing and Property Services.	SMT	Now forms part of the Procurement Initiation Document. Status: G
2.4 G	That a restricted access shared folder system is mandated to be used for all procurement projects, with a reference system for each document designed to make sure that a single, common set of documents is used at all stages of the procurement process by all involved in the procurement exercise.	Recommendations from the Report Produced by Head of Housing and Property Services.	Procurement Team	Documents held within Intend system. Further shared folders created on Share Drive as necessary. Status: G

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2.5 A	That other than in the most exceptional of circumstances, all procurement projects are scheduled to allow for a minimum four-month mobilisation period.	Recommendations from the Report Produced by Head of Housing and Property Services.	CMT/SMT	The period required varies depending on the value and complexity of the project. The time required should be stated by the contract manager in advance and included within the PID. Status: 
2.8 A	That releasing or allowing the release of details of procurement exercises before the formal announcement of the outcome of such an exercise be considered an act of gross Misconduct	Recommendations from the Report Produced by Head of Housing and Property Services.	CMT/SMT	Agreed. Status: 
2.9 G	That, as part of the Council's approach to procuring services, a 'whole system cost and benefit analysis' be required to consider alternative delivery vehicles to external providers.	Recommendations from the Report Produced by Head of Housing and Property Services.	CMT/SMT	PID requires alternative delivery models to be considered in advance. Status: 

#### Prioritisation Key:

	Higher Priority
	Medium Priority
	Lower Priority

#### Status on Progress Key:

	No/limited progress
	Substantial progress but further work required
	Complete